

**DORSEY & WHITNEY LLP**

SUITE 400 SOUTH  
1001 Pennsylvania Avenue, N.W.  
Washington, D.C. 20004

FACSIMILE COVER SHEET  
FAX (202) 442-3199

THE INFORMATION CONTAINED IN THIS FACSIMILE MESSAGE IS LEGALLY PRIVILEGED AND CONFIDENTIAL INFORMATION INTENDED SOLELY FOR THE USE OF THE PERSONS OR ENTITIES NAMED BELOW. IF YOU ARE NOT SUCH PERSONS OR ENTITIES, DO NOT READ THE MESSAGE BELOW. ANY DISTRIBUTION, DISSEMINATION OR REPRODUCTION OF THIS FACSIMILE MESSAGE IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS MESSAGE IN ERROR, PLEASE IMMEDIATELY CALL US COLLECT AT (202) 442-3000.

Date: October 2, 2002

Time: 12:37 PM

Total Number of Pages (including this cover sheet): 7

TO: Johnson Control Work Station

FAX #: 703-746-9195

FIRM NAME: U.S. Patent and Trademark Office LOCATION: Arlington, VA

TELEPHONE #:

**RECEIVED**

OCT 18 2002

~~Technology Center 2800~~

FROM: Eddy Valverde, Patent Paralegal

E-mail: valverde.eddy@dorseyllaw.com

TELEPHONE NUMBER: 202-442-3623

COMMENTS: Request for Corrected Filing Receipt for App. No. 09/964,857

Dear Sir or Madam:

Enclosed please find a copy of a filing receipt in connection with the above-identified application number indicating corrections on the continuing data field. In support of this corrections, marked-up documentation is enclosed to verify the corrections thereto. It is requested that the Office of Initial Patent Examination (OIPE) issue a corrected Filing Receipt reflecting the changes noted on the enclosed Filing Receipt.

Respectfully submitted,



Eddy Valverde

Originator's Signature

Original will be sent via (check one): ☐ Mail ☐ Messenger ☐ Air ☐ Courier ☒ Will not be sent

PLEASE CONTACT FACSIMILE OPERATOR \_\_\_\_\_ AT (202) 442- 3000

IF TRANSMISSION IS INCOMPLETE OR CANNOT BE READ.

Reference # 384365-7



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/964,857	09/28/2001	2611	870	3960.D19	40	20	2

Dorsey and Whitney LLP  
Suite 400 South  
1001 Pennsylvania Avenue NW  
Washington, DC 20004

CONFIRMATION NO. 3260

UPDATED FILING RECEIPT



\*OC00000008818942\*

Date Mailed: 09/19/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

John S. Hendricks, Potomac, MD;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A DIV OF 09/237,825 01/27/1999 X  
WHICH IS A DIV OF 08/336,247 11/07/1994 PAT 5,986,690 X  
WHICH IS A CIP OF 08/160,194 12/02/1993 PAT 5,990,927 X  
(\*) Data provided by applicant is not consistent with PTO records

## Foreign Applications

If Required, Foreign Filing License Granted 10/15/2001

Projected Publication Date: 12/26/2002

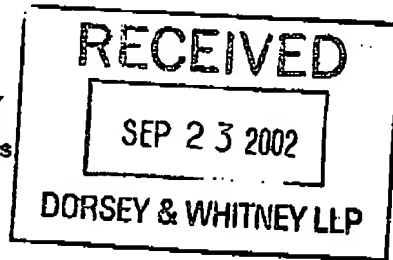
Non-Publication Request: No

Early Publication Request: No

## Title

Electronic book selection and delivery system downloading text from a portable storage medium

## Preliminary Class



348

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PTO-108X  
(Rev. 8-85)

## FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/237,825	01/24/99	2766	\$760.00	3960.D1	40	9	3

01/27/99

ALDO NOTO DORSEY & WHITNEY  
1330 CONNECTICUT AVENUE SUITE 200  
WASHINGTON DC 20036

RECEIVED  
FEB 25 1999  
REGISTERED

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

## Applicant(s)

JOHN S. HENDRICKS, POTOMAC, MD.

## CONTINUING DATA AS CLAIMED BY APPLICANT-

THIS APPLN IS A DIV OF 08/336,247 11/07/94  
AND A CIP OF 08/160,194 12/02/93

FOREIGN FILING LICENSE GRANTED 02/16/99

## TITLE

ELECTRONIC BOOK SELECTION AND DELIVERY SYSTEM

PRELIMINARY CLASS: 380

REGISTERED  
ACR 2/25/99

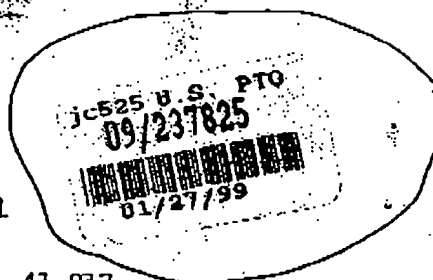
DATA ENTRY BY: HINES, BRENDA

TEAM: 06 DATE: 02/16/99

The mail stamp of the Patent and Trademark Office  
on card acknowledges the filing on the date stamped of:

Specification: 46 pages  
Application Transmittal: 3 pages  
Formal Drawings: 40 pages  
Copy of Executed Declaration  
Check No. 4437 for \$760.00

Applicant: John S. HENDRICKS  
Serial No.: Not Yet Assigned  
File No.: Docket No. 3960.D1  
Due Date: ASAP  
Initials: J. Harrop, Reg. No. 41,817  
Mailed: Hand-Carried Jan. 27, 1999  
Oppositions-extension of time requested to:



90062  
Dorsey & Whitney Filing Number

January 27, 1999  
Filing Date of This Submission

Atty. Docket No.: 3960.D1 (J. Harrop)

Re: ELECTRONIC BOOK SELECTION AND DELIVERY SYSTEM

Application No.: Not Yet Assigned

Filing Date: Herewith

International Application No.: \_\_\_\_\_

International Filing Date: \_\_\_\_\_

The following items/fees were received from Dorsey & Whitney, Washington, D.C., by the U.S. Patent & Trademark Office:

ITEMS

☒ Divisional Application Request Transmittal  
☒ Specification and claims (46 pages)  
☒ Copy of Declaration  
☒ Formal Drawings (Figures 1-18b) - 40 pages  
\_\_\_\_ New U.S. Design Patent Application  
\_\_\_\_ Amendment Transmittal Letter PTO 1083  
\_\_\_\_ National Stage Application  
\_\_\_\_ Translation of National Stage  
\_\_\_\_ Rule 62 Continuation/Division/Continuation-In-Part Application  
\_\_\_\_ Rule 60 Continuation/Division Application (in duplicate) (attach copy of specification, claims, drawings & declaration)  
\_\_\_\_ Priority Document - Cert. copy of \_\_\_\_\_ Appl. # \_\_\_\_\_ Date \_\_\_\_\_  
\_\_\_\_ Assignment w/Cover Sheet  
\_\_\_\_ Response  
\_\_\_\_ Amendment  
\_\_\_\_ Notice of Appeal  
\_\_\_\_ Appeal Brief (in triplicate)  
\_\_\_\_ Reply Brief (in triplicate)  
\_\_\_\_ Request for Oral Hearing  
\_\_\_\_ Confirmation of Hearing Petition  
\_\_\_\_ Certificate of Correction  
\_\_\_\_ Maintenance Fee Transmittal

\$760.00

U.S. PTO FEES ENCLOSED

Filing Fee  
Surcharge Fee  
Notice of Appeal Fee  
Brief on Appeal Fee  
Oral Hearing Request Fee  
Maintenance Fee  
Notice of Opposition Fee

OTHER FEES

\$760.00

TOTAL FEES ENCLOSED

Check Number: 4437

PLEASE RETURN DATE-STAMPED COPY TO  
SHANNON MADIGAN (202)452-6939

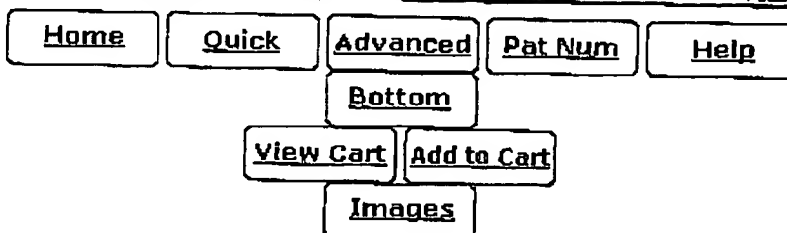
OTHER ITEMS

**DOCKETED**

1/28/99

ACK

14540

USPTO PATENT FULL-TEXT AND IMAGE DATABASE

(1 of 1)

**United States Patent**  
**Hendricks, et al.****5,990,927**  
**November 23, 1999****Advanced set top terminal for cable television delivery systems****Abstract**

A novel advanced set top terminal capable of digital decompression, menu generation, interactivity and other advanced functional capabilities for use in a television program delivery system is described. The invention relates to methods and apparatus for upgrading existing set top terminals to provide menu generation capability and advanced functional capabilities. The invention is particularly useful in television program delivery systems with hundreds of channels of programming, providing (i) menu driven program selection through the addition of an upgrade module or menu generation card and (ii) advanced functional capabilities using a set of hardware upgrades and/or an expansion card. Specifically, the invention is an upgradeable system that supports advanced set top functionality through the use of internal software, hardware upgrades, an upgrade module and/or expansion cards. The upgraded hardware generally includes a microprocessor, various input/output ports, processing circuitry and memory. The invention results in an upgraded set top terminal that supports: menu generation; picture-on-picture displays; program catalogue services; interactive services; telephone caller identification; digital audio reception; VCR control; HDTV reception; and backyard satellite system interoperability, among other features and capabilities.

**Inventors:** Hendricks; John S. (Potomac, MD); Bonner; Alfred E. (Bethesda, MD); Wunderlich; Richard E. (Alpharetta, GA); Berkobin; Eric C. (Woodstock, GA)

**Assignee:** Discovery Communications, Inc. (Bethesda, MD)

**Appl. No.:** 160194

**Filed:** December 2, 1993

**Current U.S. Class:**

725/132; 725/31; 725/37; 725/46; 725/60; 725/109

**Intern'l Class:**

H04N 007/16

**Field of Search:**

348/10,11,6,7,12,13,578,584,589,906 455/5.1,6.1,4.2,6.2,6.3

**References Cited [Referenced By]****U.S. Patent Documents**D301037

May., 1989

Matsuda